USER MANUAL FOR REPORTING OF CP/CD DEALS

ON

FIMMDA REPORTING PLATFORM (CBRICS)

JULY 2010

VERSION 1

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1. Introduction

FIMMDA reporting platform was launched in 2007 for reporting of Corporate Bonds. Pursuant to the RBI and SEBI circular to bring reporting in Commercial Papers (CP) and Certificate of Deposits (CD) under the reporting ambit, the platform has been modified to accept reporting of deals for CP/CD instruments.

This platform is intended to enable RBI and SEBI intermediaries to report their transactions in corporate bonds, CP and CD on a single platform. This platform shall also provide information on reported trading volumes, yields, prices, information about instruments and its attributes.

2. Scope of Manual

This manual is for assisting participant to report deals in CP/CD. For complete user manual relating to Administration function, please refer Complete CBRICs User manual available on the reporting platform.

3. Who should report?

3.1. RBI regulated Entities

All RBI-regulated entities shall report their OTC transactions in CDs and CPs on the FIMMDA reporting platform within 15 minutes of the trade for online dissemination of market information. Detailed procedure in this regard would be advised by FIMMDA. *(RBI circular: RBI/2009-10/515 IDMD.DOD. **11** /11.08.36/2009-10 dated June 30, 2010)*

3.2. SEBI Regulated Entities

SEBI Regulated entities (u/s 12 of the SEBI Act) shall report their OTC, transactions in CDs and CPs on the FIMMDA reporting platform within 15 minutes of the trade for online dissemination of market information with effect from August 16, 2010. (SEBI Circular: CIR/IMD/DF/6/2010 dated July 30, 2010

4. How to report a CP_CD deal on FIMMDA?

For reporting the secondary market trades in CDs and CPs members who are already registered with FIMMDA for the Corporate Bond Reporting Platform may access the CP & CD reporting fields through our website by clicking the link “Corporate Bond & CP/CD Reporting Platform”. The Administrator of the Participant shall create a user separately for reporting CP/CD deals or any user under the Participant if authorized may report the deal.

4.1. Reporting matrix

The reporting matrix identifies the responsibility for reporting in certain trade scenarios involving parties recognized on the platform (Registered) & other parties (Un-registered).

Sr. No.	Sell Participant	Buy Participant	Result
1.	Registered	Registered	Sell participant will report the trade
2.	Registered	Un-registered	Sell participant will report the trade. Counter party will be accepted by platform.
3.	Un- Registered	Registered	The trade information should be provided to NSE by the buy participant in prescribed format (Annexure A). The trade will be reported on his behalf by NSE
4.	Un- Registered	Un-Registered	Either one or both participants may register (Registration Application given in Annexure B) and follow the desired matrix item 1, 2 or 3.

In the case of brokered OTC trades, the registered user should report the trade, instead of the broker.

4.2. Rules of reporting

- All the deals should be reported by the seller. This rule has been formulated to ensure single reporting of a deal on reporting platform. The system automatically considers the reporting participant as the seller to the deal.

- Trades in CP/CD instruments have to be reported within 15 minutes of trade for online dissemination to the market. Please refer RBI & SEBI circular in point 1 above.

4.3. Reporting deadline

- The reporting platform shall be open from 10:00 a.m. to 5:30 p.m for reporting of deals from Monday to Friday. The platform will remained closed for business on Saturdays, Sundays and holidays as notified by FIMMDA.

5. Login to the application

5.1. URL

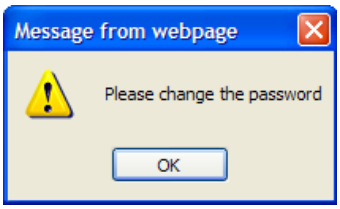
https://www.bricsonline.net/bonds/gui/index.html

5.2. Login Screen

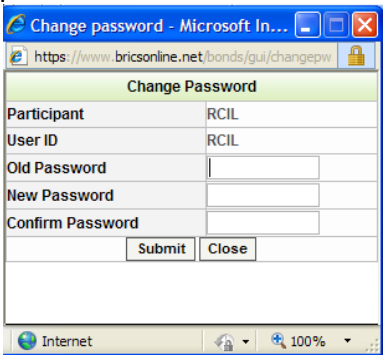
- The reporting platform can be accessed by only an Internet Explorer browser 6 and above.
- Please ensure that the PC is connected to the internet before login.
- Please click on "click here" to check browser compatibility.
- Incase if certain checks are shown as "X" – install the requisite plug-ins.
- Java Runtime Environment 1.6 and above must be installed.
- Please set the screen resolution at 1024 X 768 for best viewing.
- **Please DISABLE POP-UP BLOCKER for this application**

6. First time login

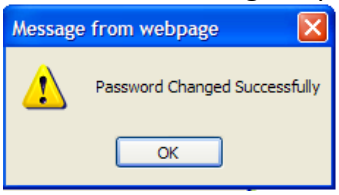
- You will be provided an User ID, Participant ID and password by email from cbrics@nse.co.in
- At the login screen Input your USER ID, Participant ID and password as was provided in the mail (the same case)
- A pop up screen will appear and ask you to change password. (If pop-up blocker is not disabled this screen will not appear)



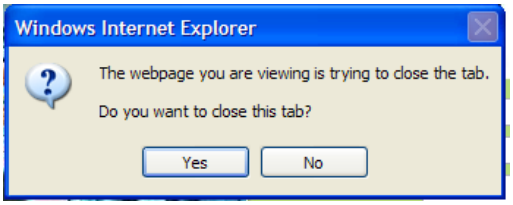
- Click on "OK" button and the following screen will appear, prompting you to input new password



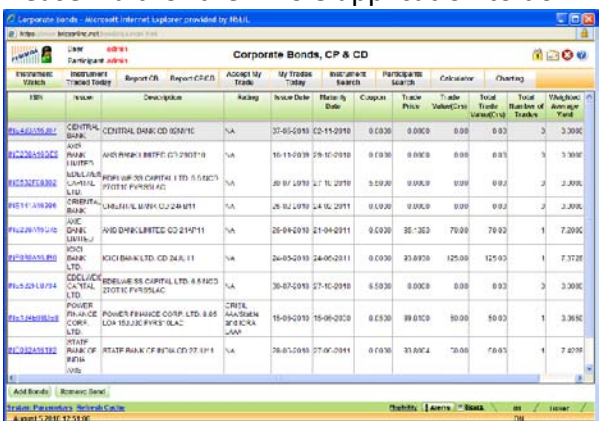
- Please type the Old password in the relevant field.
- Please see "Password policy" on what to select for password.
- On successful change of password the following message will appear



- Please log into the system with your new password to access the application.
- The window will display "Processing" and the application will load in a new window
- The Login screen window will display a message asking the user to close the window. Please close the window to proceed.

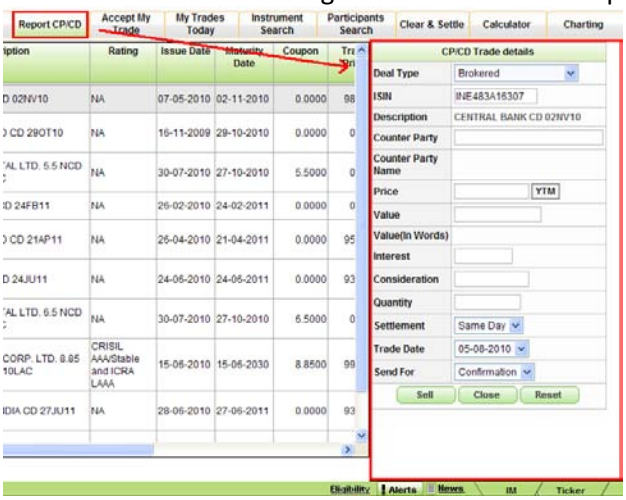


- Please wait for the whole application to download successfully before reporting.



7. Reporting Screen

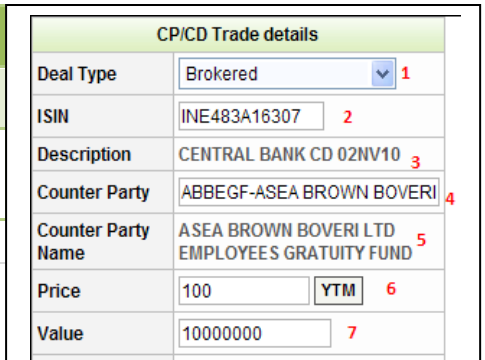
- To report a deal in CP/CD, please select the "Report CP/CD" tab in the CBRICs application.
- A window on the right hand column of the page as given below will appear



7.1. Reporting Window

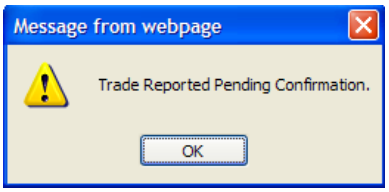
The table below provides a guide on how to enter the deal

Sr. No	Fields	Input	Displayed
1.	**Deal Type**	Select from Drop down values	Direct/ Brokered/Interscheme
2.	**ISIN**	Manual Entry or Selection from bond list	Description gets populated with bond name if bond exists in database.



3.	**Description**	Computed	Please check that the correct description is displayed
4.	**Counter party**	Select from available list in drop down	Full name appears if participant is registered. If un-registered allows any entry. (please verify from Participant search before entering new participant)
5.	**Counter party name**	Computed un-editable	Will display when counter party is input
6.	**Price**	Manual entry	Enter clean price
7.	**Value**	Manual entry	Value in words will appear
8.			
9.	**Interest**	Computed editable	Not applicable for CP/CD – ignore
10.	**Consideration**	Computed Un-editable	None
11.	**Quantity**	Computed Un-editable	None
12.	**Settlement**	Select from Drop down values	Same Day/ T + 1/ T + 2
13.	**Trade Date**	Will display current date by default	To be changed
14.	**Send for**	Information Confirmation	If counter party is un-registered Buyer If counter party is registered entity
15.	**Sell/close/Reset**	Click Sell Click Close Click Reset	To send the trade to the counter party Click close to abandon Click Reset to clean the page and start again
16.	**Press Cntrl**	**Cntrl key on keyboard**	Will finalize the transaction by sending to the counter party

The following screen will appear

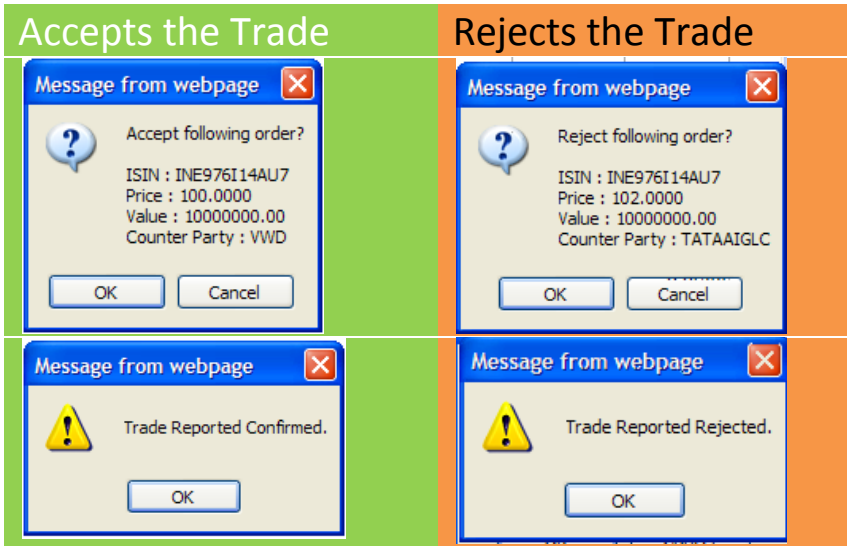


8. Accepting a trade reported by counter party

To accept a trade reported by the seller, the buyer needs to login into CBRICS and click on the tab "Accept my Trade". The Buyer will be able to view the trade only if the seller marks it for "confirmation". The buyer can check the details of the deal and choose to accept or reject the deal.

If the counter party to the deals is the same participant and selects the option 'Send for Confirmation', the deals will be shown on the 'Accept My Trades' screen. This will be shown in the screen till the time it is accepted, either auto or manually.

The following screen will be display on the action of the counter party



9. Trades Report

9.1. My Trades today

The 'My Trades Today' displays all trades where the participant is a seller or buyer (counter party). A screen shot of the same is attached hereunder.

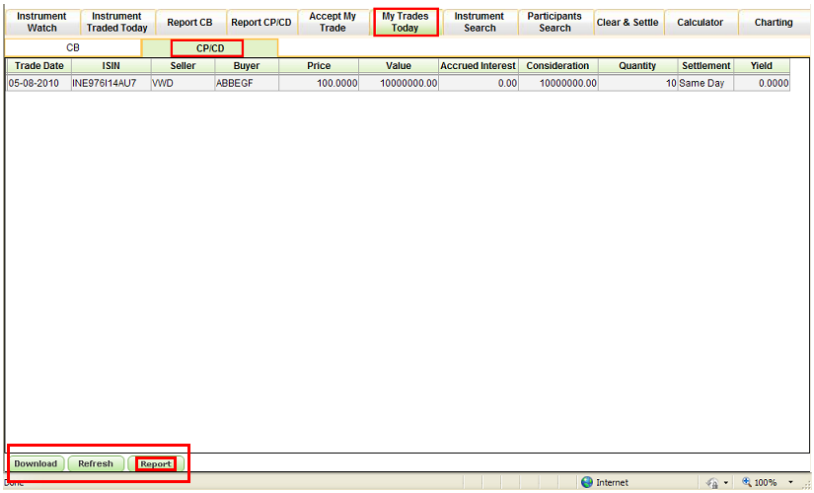
The trade information displayed is Trade date/time, ISIN, Counter party, Price, Value, Accrued interest, Consideration, Quantity & Settlement. This is the list of trades where the participant is a party.

9.2. Report

The report option is provided under "My Trades Today" tab under sub option CP/CD deal screen. At the bottom of the page 3 button options are provided.

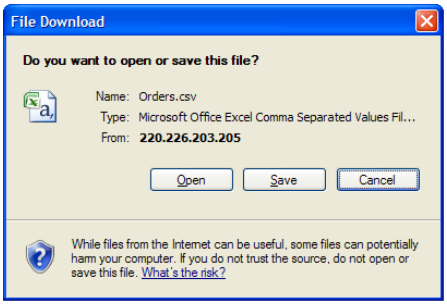
- Download
- Refresh
- Report

Screen shot of the Report page highlights the left hand corner where the buttons are provided



9.3. Button 1: Download

This feature allows the user to download all trades for the day. User can choose to open the file directly or save the same.


File Download
Do you want to open or save this file?
Name: Orders.csv
Type: Microsoft Office Excel Comma Separated Values Fil...
From: 220.226.203.205
Open
Save
Cancel
While files from the Internet can be useful, some files can potentially harm your computer. If you do not trust the source, do not open or save this file. What's the risk?

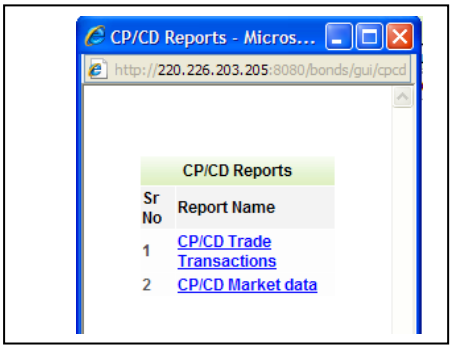
9.4. Button 2: Refresh

Refresh the screen to display latest trades.

9.5. Button 3: Report

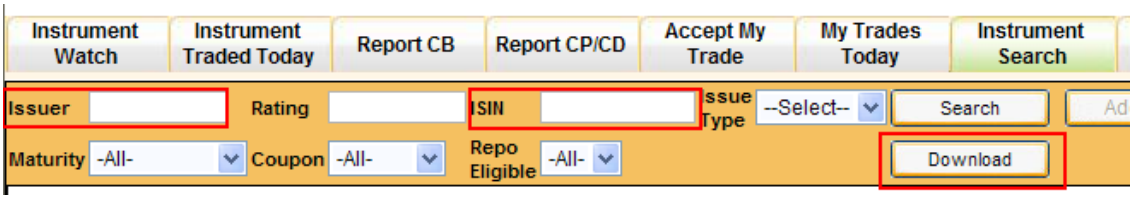
The user can access the following reports by clicking on the "Report" button

1. CP/CD Trade Transactions
2. CD/CD Market Data



10. Instrument search

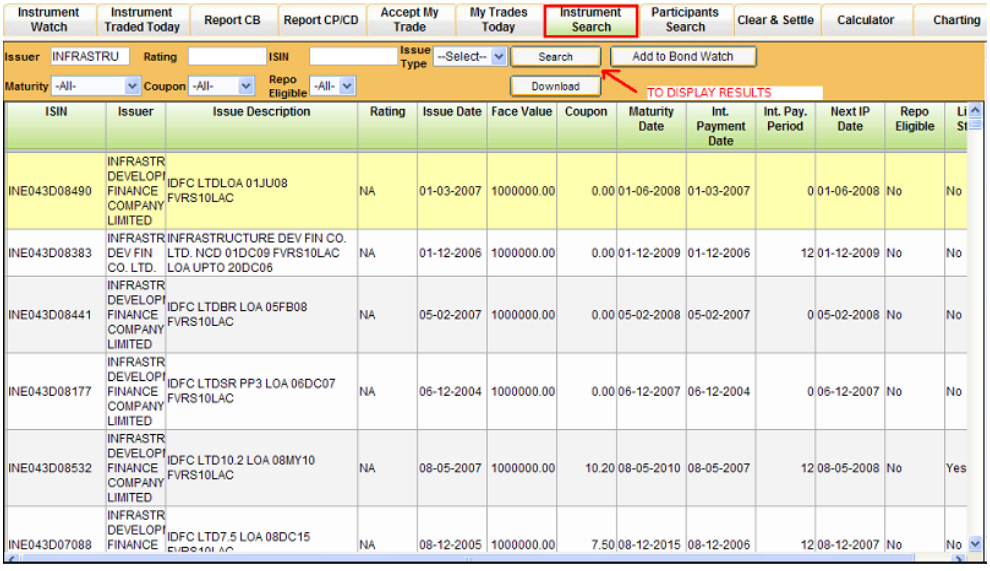
The enquiry functionality of 'Instrument Search' enables users to search for instruments satisfying certain criteria. The various criteria Issuer, Rating, ISIN, Maturity.



At least one of the filter criteria needs to be selected. This means that at any point of time, the complete list cannot be viewed. If the enquiry is not filtered, a message to this effect is shown. Once a filter is set, the search button should be clicked to get the output. Acceptable Data to be entered in the fields for enquiry:

Issuer	The Issuer code in the system or beginning portion of that. For eg: If issuer is HUDCO then the search can be carried out by entering HUDCO/ H but not by CO. (Default: <Blank>)
Maturity	To be selected from the dropdown (Default: ALL)
Coupon	To be selected from the dropdown (Default: ALL)
ISIN	13 digit ISIN code – part code can be input

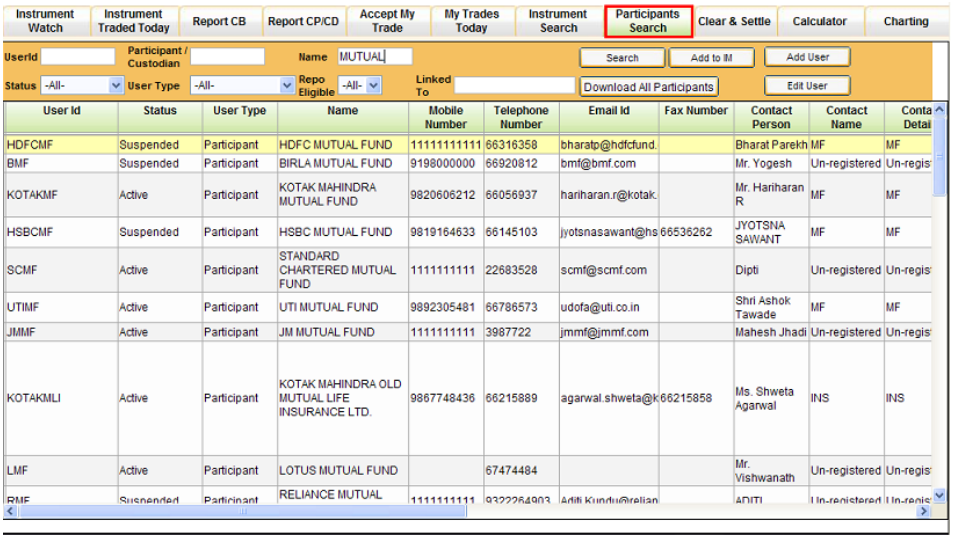
The Output is generated as per the screen given below.


Instrument Watch
Instrument Traded Today
Report CB
Report CP/CD
Accept My Trade
My Trades Today
Instrument Search
Participants Search
Clear & Settle
Calculator
Charting
Issuer INFRASTRU
Rating
ISIN
Issue Type --Select--
Search
Add to Bond Watch
Maturity -All-
Coupon -All-
Repo Eligible -All-
Download
TO DISPLAY RESULTS
ISIN | Issuer | Issue Description | Rating | Issue Date | Face Value | Coupon | Maturity Date | Int. Payment Date | Int. Pay. Period | Next IP Date | Repo Eligible
INE043D08490 | INFRASTR DEVELOPI FINANCE COMPANY LIMITED | IDFC LTDLOA 01JU08 FVRS10LAC | NA | 01-03-2007 | 1000000.00 | 0.00 | 01-06-2008 | 01-03-2007 | 0 | 01-06-2008 | No
INE043D08383 | INFRASTR DEV FIN CO. LTD. | INFRASTRUCTURE DEV FIN CO. LTD. NCD 01DC09 FVRS10LAC LOA UPTO 20DC06 | NA | 01-12-2006 | 1000000.00 | 0.00 | 01-12-2009 | 01-12-2006 | 12 | 01-12-2009 | No
INE043D08441 | INFRASTR DEVELOPI FINANCE COMPANY LIMITED | IDFC LTDBR LOA 05FB08 FVRS10LAC | NA | 05-02-2007 | 1000000.00 | 0.00 | 05-02-2008 | 05-02-2007 | 0 | 05-02-2008 | No
INE043D08177 | INFRASTR DEVELOPI FINANCE COMPANY LIMITED | IDFC LTDSR PP3 LOA 06DC07 FVRS10LAC | NA | 06-12-2004 | 1000000.00 | 0.00 | 06-12-2007 | 06-12-2004 | 0 | 06-12-2007 | No
INE043D08532 | INFRASTR DEVELOPI FINANCE COMPANY LIMITED | IDFC LTD10.2 LOA 08MY10 FVRS10LAC | NA | 08-05-2007 | 1000000.00 | 10.20 | 08-05-2010 | 08-05-2007 | 12 | 08-05-2008 | No
INE043D07088 | INFRASTR DEVELOPI FINANCE | IDFC LTD7.5 LOA 08DC15 | NA | 08-12-2005 | 1000000.00 | 7.50 | 08-12-2015 | 08-12-2006 | 12 | 08-12-2007 | No

11. Participants search

'Participant search' is a lookup for finding participants who are registered for reporting on CBRICs platform. It is used to carry out participant search & other related functionality from the repository of participants and their users recognized on the platform.

Participants can download the entire list of participants from the "Download All Participants" button on the search bar. Alternatively, users can input part name of the Participant to search. The output screen displays the follows.

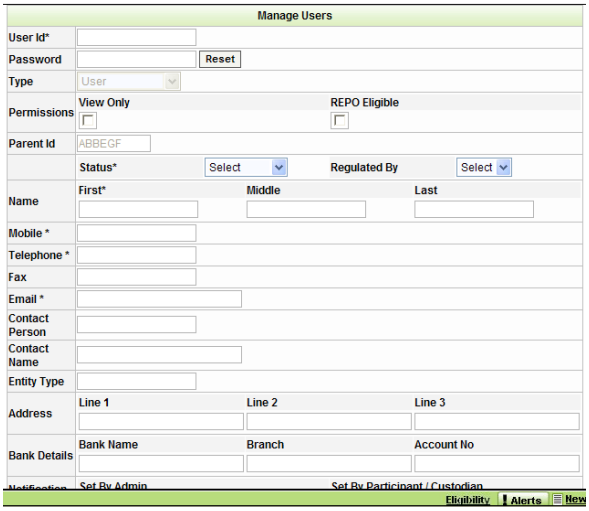

Instrument Watch
Instrument Traded Today
Report CB
Report CP/CD
Accept My Trade
My Trades Today
Instrument Search
Participants Search
Clear & Settle
Calculator
Charting
UserId
Participant / Custodian
Name
MUTUAL
Search
Add to IM
Add User
Status
-All-
User Type
-All-
Repo Eligible
-All-
Linked To
Download All Participants
Edit User
User Id | Status | User Type | Name | Mobile Number | Telephone Number | Email Id | Fax Number | Contact Person | Contact Name
HDFCMF | Suspended | Participant | HDFC MUTUAL FUND | 11111111111 | 66316358 | bharatp@hdfcfund. | | Bharat Parekh | MF
BMF | Suspended | Participant | BIRLA MUTUAL FUND | 9198000000 | 66920812 | bmf@bmf.com | | Mr. Yogesh | Un-registered
KOTAKMF | Active | Participant | KOTAK MAHINDRA MUTUAL FUND | 9820606212 | 66056937 | hariharan.r@kotak. | | Mr. Hariharan R | MF
HSBCMF | Suspended | Participant | HSBC MUTUAL FUND | 9819164633 | 66145103 | jyotsnasawant@hs | 66536262 | JYOTSNA SAWANT | MF
SCMF | Active | Participant | STANDARD CHARTERED MUTUAL FUND | 1111111111 | 22683528 | scmf@scmf.com | | Dipti | Un-registered
UTIMF | Active | Participant | UTI MUTUAL FUND | 9892305481 | 66786573 | udofa@uti.co.in | | Shri Ashok Tawade | MF
JMMF | Active | Participant | JM MUTUAL FUND | 1111111111 | 3987722 | jmmf@jmmf.com | | Mahesh Jhadi | Un-registered
KOTAKMLI | Active | Participant | KOTAK MAHINDRA OLD MUTUAL LIFE INSURANCE LTD. | 9867748436 | 66215889 | agarwal.shweta@k | 66215858 | Ms. Shweta Agarwal | INS
LMF | Active | Participant | LOTUS MUTUAL FUND | | 67474484 | | | Mr. Vishwanath | Un-registered
RMF | Suspended | Participant | RELIANCE MUTUAL | 1111111111 | 9322264903 | Aditi.Kundu@relian | | ADITI | Un-registered

12. Create New Users

The Participant is provided an Administrator ID by FIMMDA to access the reporting platform. Please ensure that the Administrator creates separate users to report deals. This will ensure that un-authorized access to the reporting platform is not gained.

Steps

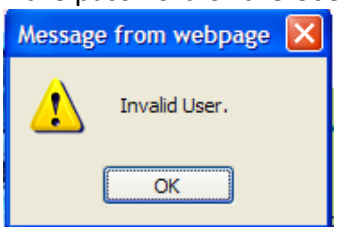
- Log into the reporting platform.
- Choose the tab key " Participant Search "
- Select " Add User " button, a registration screen appears



- Input all the mandatory data indicated by * and save the changes.
- The new user is created.
- Please ask the user to login, change password and access the application.
- The default password is the user id in small case.
- For login the user needs to enter the Participant ID which is common, the User ID which is specific to the individual and the password
- The user will be prompted to change the password at first time login.

13. Password policy

- If the password or the User id entered is wrong the following message will be displayed.



- Every user is allowed only 3 attempts to login, after which the ID will be inactivated.
- The Password is case sensitive.
- While changing your password for the first time, please ensure that you input an alphanumeric password with minimum 6 characters and maximum 8 characters with at least one special character.
- Special character like @, # * are allowed.
- If the account is suspended, users cannot log in to the application and will have to approach FIMMDA for restoration of user id.

14. Other Utilities

The utilities integrated with the platform are:
Change password ( ), Contact us ( ), Logout ( ) and Help ( )

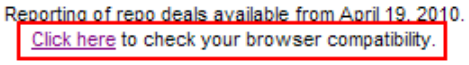
15. Formats

- Annexure A – For reporting of an instrument not available on CBRICS
- Annexure B – For reporting of an un-registered seller.
- Annexure C – Participant Registration Application form.

16. Frequently Asked Questions (FAQs)

16.1. I am unable to open the CBRICs platform from another PC.

Please ensure that all the plug-ins required for the application are available. Click on the



Check Browser compatibility button
and make sure that all the sections are marked as below.

Browser Compatibility

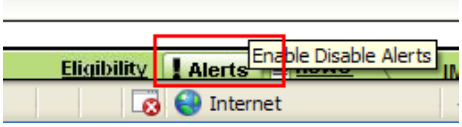
Compatibility check	Mandatory	Available	Yes or No
Browser	Microsoft Internet Explorer	Microsoft Internet Explorer	✓
Javascript	Enabled	Enabled	✓
Version	Explorer 6.0 or higher (Win)	7	✓
Operating System	Windows 98 (or newer)	Windows NT 5.1	✓
Java Virtual Machine (JVM) Vendor	Sun Microsystems	Sun Microsystems Inc.	✓
JVM Version	1.4 and Above	1.6.0_20	✓
Popup Blocker check	Disabled	Disabled	✓

16.2. I am unable to view an instrument on Reporting platform

Please contact FIMMDA for reporting an unavailable instrument in the format specified.

16.3. I want to set alerts for the deals.

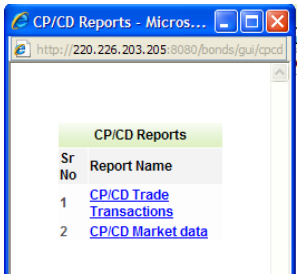
Please click on the button at the bottom of the bar as displayed below.



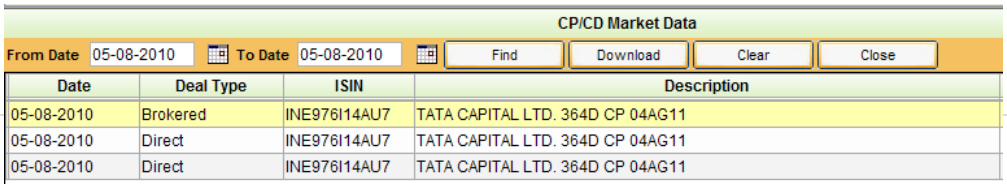
16.4. I want to view the history of all previous deals

Please click on the "My Trades Today", bottom part of the page displays the following buttons

Click on Report



And input the date range and click on find. All trades reported for the date will appear.



Date	Deal Type	ISIN	Description
05-08-2010	Brokered	INE976I14AU7	TATA CAPITAL LTD. 364D CP 04AG11
05-08-2010	Direct	INE976I14AU7	TATA CAPITAL LTD. 364D CP 04AG11
05-08-2010	Direct	INE976I14AU7	TATA CAPITAL LTD. 364D CP 04AG11

16.1. I am unable to report the deals because the counter party is not available.

You are requested to kindly inform the details of the deal as per format given in Annexure A.

16.2. I was reporting a deal and I received the message "User not logged in"

Please ensure that only the authorized person has access to the URL. To ensure that the Participant ID provided to you is safe and to prevent un-authorized entry into the reporting platform, please ensure that you create separate users to report deals. Procedure to create users is given in point no. 12 above.

16.3. Please provide the FIMMDA circular on reporting of CP/CD Deals

The circular is available at the following link: http://www.fimmda.org/download/reportingCPCD.pdf

Annexure A

(To be printed on Company Letter head)

Date:

To:
Fixed Income Money Market and Derivatives Association Of India (FIMMDA)
52, 5th Floor,
Mittal Chambers,
Nariman Point,
Mumbai – 400021

Dear Sir,

Sub: FIMMDA CBRICS Reporting Platform – Instrument Addition

We would like to bring to you attention that the following instrument is unavailable on the CBRICs platform. Details of the same are provided here below.

ISIN*		
Bond Description*	:	
Face Value*	:	Rs.
Issue Date*	:	/ /
Maturity Date*		/ /
Type of bond		(Coupon bearing/ Zero Coupon)
Last IP date	:	/ /
Day count convention		
Put / Call option	:	(Put / Call / None)

Request you to kindly do the needful

Thanking you,

Authorised Signatory:

Notes:

- Fields marked with (*) are compulsory. This information is a must for successful bond addition.
- Please fill the above form on Letter Head and FAX the same toFIMMDA at 022-22025739 and NSE at 022 - 26598442

Annexure B

Details of Trade between registered buyer & unregistered seller.
(Reporting will be undertaken by FIMMDA on behalf of unregistered seller)

Date:

A. Buy Party Details

Participant ID*	
Contact Person	
Contact Number	

B. Sell Party Details

Name of Co *	
Contact Person*	
Contact Number*	
Email ID	

C. Trade Information

Deal Type*	Direct / Brokered
ISIN*	
Instrument Description*	

Trade Value * Rs_____
Trade Price * Rs_____
Settlement* same day / T+1 / T+2

The buy participant while sending the above details should check whether the instrument is present in the master. In case the same is not available he should also provide such details ion the format provided for the same.

Fields marked * is mandatory

Note – Please fill the above form on Letter Head and FAX the same to NSE at 022-26598442 and FIMMDA at 022-22025739. Faxes received on or before 5.20 pm will be reported.

Annexure C

Participant Registration Form for reporting CP/CD delas on CBRICS

(To be printed on Company Letter head)

To:
Chief Executive Officer
Fixed Income Money Market and Derivatives Association of India (FIMMDA)
The International, 2nd Floor, 16 Maharishi Karve Road, Churchgate, Mumbai – 400 020

Dear Sir,

Sub: FIMMDA CBRICS Corporate Bond & CP/CD Reporting platform
Participant Application Agreement

We would like to register as a participant for your Corporate Bond and CP/CD reporting platform. Please find below our details:

1] Company name*:

2] Postal Address*:

3] Contact Person*:

4] Contact Number: Landline*
: Mobile

5] Email ID* :

We agree to abide by the CBRICS Operating Guidelines and Rules and Regulations as laid down by FIMMDA, and amended from time to time.

Thanking you,

Authorized signatory

Date

*** NOTES**

- Fields marked with (*) are compulsory. This information is a must for successful participant registration.
- In case there is any change in contact person FIMMDA should be keep informed.

For FIMMDA use only
Approved By
Name
Signature
Date

For NSEIL use only
Entered By
Name
Signature
Checked By
Name
Signature•